

ILLINOIS STATE HISTORIC PRESERVATION OFFICE
GUIDELINES FOR
ARCHAEOLOGICAL RECONNAISSANCE SURVEYS/REPORTS

Introduction

In recent years public concern over the increasingly rapid loss of our country's prehistoric and historic heritage led to the enactment of Federal legislation designed to assist in protecting such resources. As a result of these laws all construction projects which received federal assistance, permits, or licenses must be reviewed for their potential impact on cultural resources. The responsibility for performing this review belongs to the State Historic Preservation Officer (SHPO). In Illinois the SHPO's staff is the Preservation Services Division, Illinois Historic Preservation Agency.

This document has been prepared both to inform and assist those firms and agencies who must employ archaeological contractors and to serve as minimum guidelines for such contractors.

Archaeological Contractors

There are a number of private archaeological consulting firms operating in the State and most state universities' Departments of Anthropology have contract archaeologists on staff. The SHPO maintains a list of IAS certified archaeological contractors that is available upon request. You may employ any archaeologist who meets the minimum qualifications as set forth in Title 36 Code of Federal Regulations, Draft Part 66, Appendix C.

- "b. Archaeology. The minimum professional qualifications in archaeology are (a) a graduate degree in archaeology, anthropology, or closely related field, or equivalent training accepted for accreditation purposed by the Society of Professional Archaeologists, (b) demonstrated ability to carry research to completion, usually evidenced by timely completion of theses, research reports, or similar documents, and (c) at least 16 months of professional experience and/or specialized training in archaeological field, laboratory, or library research, administration, or management, including at least 4 months experience in archaeological field research and at least one year of experience and/or specialized training in the kind of activity the individual proposed to practice."

Survey (Phase I)

The initial archaeological reconnaissance survey involves both literature search and the actual field examination of the project area to determine if there is any evidence of prehistoric or historic occupations or activities. This survey need only cover those areas which were specified in the survey request from the SHPO but 100 percent of these areas must be examined. If possible, in the case of small areas, the survey should include any minor testing which is necessary to evaluate the site for National Register eligibility. Such work should be carried out in accordance with the Secretary of Interior's Standard Guidelines (1983) for identification. Archaeological surveys can be time-consuming and you should try to build several months of lead time into your planning schedules. Surveys are best done in the spring or fall when vegetation cover is reduced.

Survey Procedures

The purpose of such surveys is to determine if cultural remains are present. Since such remains are often buried beneath the present ground surface archaeologists have developed three main techniques to assist in their detection. These techniques

involve pedestrian survey in association with plowing and discing, systematic shovel testing, and deep coring or backhoe trenching for deeply buried sites.

- A. Pedestrian survey of plows and disced areas. Where feasible, the plowing, discing, and subsequent pedestrian survey of project areas is the most archaeologically thorough and cost effective technique presently available. To maximize this method's usefulness multiple controlled surface collections are necessary, therefore, this process does require sufficient lead-time to be implemented. However, this technique can only be utilized in areas which have been previously plowed. Pedestrian survey can also be employed in areas with good surface visibility that have not been recently plowed. Visibility must equal 25 percent or greater of the ground surface area to use pedestrian survey techniques. The suggested interval is 5 meters.
- B. Systematic shovel testing. Systematic shovel testing on a maximum 15m grid interval is less thorough than plowing but often must be resorted to in areas which have not been previously disturbed, or where forested conditions, topographic features, or structures prohibit plowing. Such shovel testing involves the excavation of holes about 40 x 40 cm across down to archaeologically sterile soil (usually the B horizon). The fill from each shovel unit should be screened. Where cultural materials are encountered the grid interval should close up to 5 meters to more accurately delineate site boundaries.
- C. Deep testing. When dealing with areas that potentially contain deeply buried cultural remains it will be necessary to utilize techniques that can investigate deep strata. Usually such techniques include hand or mechanical systematic deep coring, or deep trenches or block excavations dug either by hand or using heavy equipment (typically a backhoe). Examples of geomorphic features requiring such testing are floodplains, alluvial fans, and occasionally some uplands and terraces where post-Pleistocene loess deposition has occurred.
- D. Other testing procedures. Variations of survey/testing procedures should be thoroughly explained and justified in the report. If there is a question concerning the appropriateness of such survey/testing methods the contracting archaeologist should check with the SHPO.

Survey Report

At the completion of the field survey a report of the archaeological findings and recommendations must be sent to the SHPO Archaeology Section for evaluation. This report will be in keeping with the Secretary of the Interior Standards and Guidelines (1983) for archaeological documentation. To assist in this evaluation and to avoid delays in processing, the report should contain a discussion of the following minimal topics:

- A. Background Information
 - 1. Full description of project.
 - 2. Previous archaeological research based on site files, and contact with archaeologists working in area. Thorough examination of historical documents to ascertain presence and extent of historical occupation/land use of project area. This should include, at a minimum, copies of relevant plat maps, and atlases which document historic habitation with a discussion of length of occupation and use.
 - 3. Delineation of important regional research questions based on cultural history and past investigations.

4. Thorough discussion and description of present and past environment and their implications for interpreting the local archaeological record. This should include such topics as climate, vegetational patterns, fauna, geology, topography, soils, etc.

B. Survey Information

1. Complete description of project area including acreage, ground cover, topography, and any other factors which are important to interpreting the survey results.
2. Survey techniques thoroughly described and variations justified.
3. Maps are very important to aid in evaluating reports. At a minimum such maps should indicate position of project area in state/county, within township, location on topography and a detailed map of actual project.

C. Site Information (if present)

1. A full description of the site location, material recovered, and a preliminary interpretation of its place in the local culture history.
2. A completed site form and map must be submitted to the SHPO for each site. Although each contractor may use their own site forms the information included must include at a minimum that requested on the Illinois Archaeological Survey's site form. These site forms are not to be included with the general report (report should include a statement on the confidentiality of this information).
3. Testing procedures used to determine whether the site is significant should be carefully defined and the eligibility of the site for the National Register of Historic Places should be addressed.

D. Recommendations

1. This section must include the archaeologists recommendations for further testing, possible mitigation impact, or clearance as the case may be. Any suggestions concerning site disposition should be stated in terms of their relationships to relevant regional research questions and the State Archaeological Preservation Plan.

E. Archaeological Survey Short Report (ASSR)

1. If the project is fairly small and few archaeological resources are encountered the contractor may choose to use the SHPO ASSR form to submit their report.

F. Archaeological Contractor's Vita

1. All contract archaeologists working in Illinois must either have a current vita on file with the SHPO or submit one with each report.

G. Project Correspondence

1. Project Correspondence must be included as an appendix. This should include such letters as the initial SHPO survey request,

project letters between the contractor and archaeologist, the SHPO review of the draft, and the final SHPO sign-off letter. Please do no include budget information.

Report Submission

At the completion of the archaeological reconnaissance survey a report of the archaeological contractor's findings and recommendations will be prepared. This report must be submitted to the State Historic Preservation Officer for evaluation and approval. The actual submission is the responsibility of the agencies' or firms' project managers.

Address

Illinois Historic Preservation Agency
Preservation Services - Archaeology Section
Old State Capitol
Springfield, IL 62701

Information Contact

Joseph S. Phillippe, Chief Archaeologist
Old State Capitol
217-785-1279 / fax 217-782-8161

Illinois Historic Preservation Office
Guidelines for Archaeological Reconnaissance Surveys/Reports: Addendum

(The following is a transcription of a Memorandum issued on Illinois Historic Preservation Agency (IHPA) letter head as an addendum to the Phase I guidelines. Number 8 deals with Phase II [National Register Eligibility and Significance Testing] guidelines.)

1. Limit the site location data revealed in maps and reports to the specific project boundaries. Site location data is exempt from requests for disclosure under the Freedom of Information Act, this FOIA exemption exists in both state and federal law. In discussing nearby sites in the previous work section of the ASSR form or other report, refer to approximate locations, do not give specific location data for sites outside the project area. You may NOT provide information about sites outside of project areas by written description or by map to anyone.
2. It has come to our attention that several of you have started to do pedestrian field survey at survey intervals higher than 5 meters. This is not acceptable quality field work. For field work conducted after 1 January 1997, any report showing pedestrian survey conducted at greater intervals will be rejected due to inadequate field work. The reject letter will be sent to the hiring agency of firm and copied to you.
In areas of less than 25% surface visibility, you must supplement your pedestrian survey with screened shovel probing in low visibility areas. When surface visibility is less than 40%, you must switch to screened shovel probing on not greater than 15 meter grid intervals.
3. At Phase I, a sketch map (base map) of each site is required in New Site Form or Revisit Form. Show local landmarks.
4. Two copies of all final reports are required to be submitted to the SHPO when the project is completed. One copy will be kept on file at the SHPO while the other will be transferred to Nick Klobuchar who keeps the GIS site file at the ISM Collection Center after documents and log numbers have been assigned to it. Neck uses the second copy and our review letter to update the review status of survey areas and sites in the GIS site file.
5. A CD containing a pdf copy of the report must be submitted with the two final report copies.
6. Please note that converting the reports into an electronic format may change the scales of the maps. Please measure the hard copies of the topo graphic maps to insure that the scale is at 1:24000 scale.
7. You are required to report as a site any prehistoric or historic cemetery or burial area containing burials over 100 years old and also not Registered with the Comptrollers office (at Thompson Center, Chicago) under the Cemetery Care Act. You should always state in your reports' recommendation section that vandalism to, disturbance to, or excavation of these cemeteries and/or burials is prohibited by the Human Skeletal Remains Protection Act (20ILCS3440).
8. You must include historic maps as part of your ASSR and other reports, including as appropriate county plats, county atlases, city fire insurance maps, GLO maps (especially in the northern 1/3 of the state), etc. In general we want to see the oldest map for the project area that shows structures (or other early historic period sites or early land claim boundaries), and then newer maps as appropriate to show continued presence of, disturbance to, or abandonment of potential sites.

9. Geomorphology. To supplement what is said in the Survey and Report Guidelines about this, you must check for buried deposits on floodplains of ALL major rivers where floodplains are over 1/2 mile wide. You of course do not have to do this in disturbed areas or in naturally low areas such as sloughs, abandoned channels, and wetland, but should document these conditions by map or reference to geological report. Remember to check for loess fall buried sites too, especially in the western counties.

10. Stopping Phase II field work after locating a single cultural feature is not acceptable, your report will be rejected. Phase II should always determine the density and distribution of artifacts and density and distribution of features across the ENTIRE site, as well as occupation age(s) and probable function(s) of site. A site with a total of only a few features may not necessarily be eligible for the National Register. You should always excavate a sample of several features at Phase II, but not any feature that is likely to be a burial. Phase II report recommending NR eligibility MUST state WHAT DATA site is likely to yield.

Mechanical checking for features after gridded surface collection (not greater 10m by 10m units) is almost always acceptable on plowed sites. We recommend stripping about 100 sq. meters in at least 4 spatially separated blocks for sites less than 2000 sq. meters (1/2 acre) in size, 200 sq. meters in not less than 6 spatially separated blocks for sites less than 8000 sq. meters (2 acres), and about 2% of site for larger sites. You should always place one block at either highest density area or location of diagnostics commonly associated with features. Short Testing forms are only acceptable when a site is recommended as not eligible. Sketch maps are not acceptable as site base maps Phase II or Phase III.

11. Photographs of buildings should be full frame and must be cross referenced to map data accompanying ASSR or other report. No Photocopies of Photos in original copy to SHPO. Any building eligibility evaluations must be done by persons meeting 36 CFR part 51, Appendix A as a Historian or Architectural Historian.

Information for Developers and Agencies about General Procedures for Phase II Archaeological Projects

Anyone notified of an archaeological site subject to Phase 2 testing in their project area, has several options:

1. Preserve the site by planning your project to avoid or green space the site, a deed covenant may be necessary depending on the landownership and the law the project is being reviewed under.
2. Hire an archaeological firm to conduct a Phase 2 project on the site.
3. Choose a different location for the project (generally means starting review process over from scratch, but there will be rare occasion when this is actually the fastest and cheapest option). This is something you may wish to consider if there are burials in the project area, or an extremely large or dense site in the project area.

Phase 2 archaeological projects consist of fieldwork, analysis, and report by the archaeological firm, and then review of the report by the IHPA and sometimes also by the funding or permitting agency, with additional work required part of the time depending on the significance of the site(s). However, if a project has no significant sites after a Phase 2 project has been completed and reviewed, then the archaeological is completed as soon as HPA accepts the report. If a project area has more than 1 site, each one is reviewed independently. In other words, one could be determined not significant and while another one is determined significant or potentially significant.

Phase 2 fieldwork generally consists of obtaining good artifact type and location data from the site surface by methods such as grid collections, piece plotting, etc. A small-scale excavation follows this step. In some cases the fieldwork (commonly called test units) can be done with assistance of machines like backhoes or occasionally even larger equipment such as belly scrapers (plowed or partially disturbed sites), but sometimes it is necessary to dig by hand (mounds, unplowed sites, or inaccessible locations). The test units are excavated to the base of the plowzone or topsoil, and then the base of the unit is checked for the presence of archaeological features (foundations, pits, hearths, burials, middens, etc.). If features are present, a small number (generally not more than 5-10) of them are excavated to provide information about the site's age, function, integrity, etc. Samples of soil from each feature for botanical and zoological analysis are usually taken. Also on floodplains of large rivers, several additional "deep" trenches are usually necessary to check for buried sites. The amount of time required for fieldwork is highly dependent on the size of a site, on whether machines can be used, and on the density of features, as well as the weather.

Analysis of Phase 2 consists of identifying and inventorying all of the artifacts recovered and preparing data recorded in the field for a report. The length of time needed is again highly variable based on factors listed above. The report describes the field and lab information, provides a preliminary interpretation of the site, and makes recommendations concerning the significance of the site.

The archaeology staff at the State Historic Preservation Office (IHPA in Illinois) and sometimes the archaeologists at the lead funding or permitting agency review the report. Based on the report and their knowledge of regional archaeology, they determine (following criteria outlined in the appropriate law and regulations for each projects) if the work done was acceptable, and whether the site(s) are not significant and need no further investigation or are significant. If a site is significant (meets the eligibility criteria for the National Register of Historic Places), the choices are mitigation (generally by complete excavation) or preservation.

Illinois Historic Preservation Office
Report Requirements Changed

(The following is a transcription of a Memorandum issued on Illinois Historic Preservation Agency (IHPA) letterhead (effective 15 January 1994))

1. No final reports will be accepted without proper IAS Site Numbers assigned to each reported site. Site numbers can be obtained from Mr. Nick Klobuchar, Illinois State Museum, Research and Collections Center, 1011 East Ash Street, Springfield, Illinois 62701, 217/524-0328.
2. Only one copy of each site form needs to be submitted with reports. The duplicate copy that we previously requested for the IAS is no longer required since contractors will be dealing with the IAS for site numbers.
3. Two copies of the final report will be required to be submitted to the SHPO at the time of project completion. One copy will be kept on file at the SHPO while the other will be transferred to a back-up reference library at the ISM Collection Center. Both the SHPO and the ISM document collections will be available to qualified researchers in the state.
4. A CD containing a pdf copy of the report must be submitted with the two final report copies.
5. Please note that converting the reports into an electronic format may change the scales of the maps. Please measure the hard copies of the topo graphic maps to insure that the scale is at 1:24000 scale.

Illinois Historic Preservation Office
Report Requirements Changed

The following is a transcription of a memorandum issued to Archaeologist and Archaeological Contractors working in Illinois and Illinois certified Human Skeletal Analysts.

The following apply in all situations where Human Skeletal Remains Protection Act (HSRPA) has jurisdiction, no matter which other state or federal archaeological law has priority. Native American Grave Protection and Repatriation Act (NAGPRA) Section 3 has priority on federal land, HSRPA applies everywhere else, so long as the burials are not in a registered cemetery and are over 100 years old.

1. Upon discovery, stop, and notify the coroner and IHPA.
2. If IHPA has jurisdiction, IHPA will determine if the burial(s) can safely remain in place. IHPA will consult with descendants or relatives as required by the law.
3. If avoidance is not possible, you may not proceed until IHPA authorizes it and until you acquire landowner permission.
4. The requirement for either 1) reburial, 2) repatriation, or 3) curation at ISM applies in all cases since HSRPA became law in August of 1989.

Information Contact

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(The following is a transcription issued on Illinois Historic Preservation Agency (IHPA) letterhead (effective May 1996))

COMPLIANCE PROCEDURES FOR DISCOVERY OF BURIALS (including Burial Artifacts) OR DISTURBANCE TO BURIAL MARKERS (including Mounds) under the HUMAN SKELETAL REMAINS PROTECTION ACT (HSRPA) (20 ILCS 3340) and its regulations (17 Ill. Adm. Code 4170)

UPON FIRST DISCOVERY OF ANY HUMAN SKELETAL REMAINS (including Burial Artifacts)

1. Cease activity at the specific location of the remains or where further remains may be reasonably thought to exist. If possible, secure the location.
2. Unauthorized excavation/disturbance is a misdemeanor and can be a felony.
3. Notify county coroner within 48 hours (failure is a Class C misdemeanor). We recommend IMMEDIATE notification. If you can not reach the coroner, then notify the appropriate county sheriff or municipal police office. Please notify IHPA at the same time you notify the county coroner - this will help ensure that IHPA can respond promptly, if we have jurisdiction. IHPA has a current list of coroners and phone numbers.
4. If it is a crime scene, the coroner has jurisdiction. An agency other than IHPA will have jurisdiction if the location is part of a registered cemetery, or if the burials are less than 100 years old, or if the property is owned by the federal government.
5. If the location is not a crime scene or subject to a law administered by another agency, the coroner will turn over jurisdiction to IHPA within 72 hours. Required notification of IHPA, IHPA determination of whether burials can be safely left in place, and IHPA authorization of disinterment and/or disturbance apply in ALL cases (see 17 IAC 4170.200 and 4170.210), even for projects "exempt from permitting requirements" (see "7a" below).
6. Also, you should have a clear understanding with the coroner and with IHPA concerning requirements for further notifications and authorizations if any additional discovery of human remains/burial features is made at the same site.
7. In cases where IHPA has jurisdiction:
 - a) if the project is an undertaking under the National Historic Preservation Act (NHPA) Section 106 or under the Illinois State Agency Historic Resources Preservation Act (20 ILCS 3420), then under HSRPA Section 16 the project is exempt from permitting requirements due to HSRPA (however, under NHPA Section 106 there may be other notification requirements - contact the lead federal agency immediately). Project procedural requirements will be determined under the appropriate act.
 - b) If "7a" does not apply, then a formal permit from IHPA will be required for disinterment of burials (including burial artifacts) or disturbance to burial markers (including mounds). See 4170.300 through 4170.340 for permit requirements.
8. In addition to IHPA authorization, landowner permission is also required to disinter burials on private property (4170.210a1), and if descendants are identifiable, their permission may be required too (4170.210b, but also see 4170.310b).
9. The requirement for a Human Skeletal Analyst to be present to supervise excavation is explicit only in the procedures for a formal permit; however, in most cases and especially with poor preservation IHPA believes it is essential that a Human Skeletal Analyst be present to supervise burial excavation and record appropriate data in the field. However, please note that Human Skeletal Analysts may only be project directors when they also meet the Secretary of Interior Qualifications as an Archaeologist.
10. Within 15 days after discovery (4170.200d3), a summary letter report is to be submitted to IHPA regarding the number and physical context of the human remains and burial artifacts, any available data concerning their cultural affiliation, the identity of the project Human Skeletal Analyst, and an estimated date of completion of the final report. For large or long projects, IHPA may substitute weekly fieldwork status letters.
11. HSRPA Section 14 (also see 4170.400 through 4170.500) applies to all projects. Section 14 concerns identification and reburial/repatriation of human remains and burial artifacts by IHPA to documented family relatives or to a related federally recognized tribe. In the absence of identifiable family or tribe, curation is required at the Illinois State Museum pending possible future identification or NAGPRA compliance.

Illinois Inventory of Archaeological and Paleontological Sites

Guidelines for Access and Dissemination of Data

The following guidelines shall govern access and dissemination of archaeological site data in the Illinois Inventory of Archaeological and Paleontological Sites (IIAPS). The IIAPS is maintained by the Illinois State Museum (ISM) and access and information dissemination is managed by the Illinois Historic Preservation Agency (IHPS) under stipulations of the Archaeological and Paleontological Resources Protection Act (APRPA) (20 ILCS 3435/10) and its accompanying rules (Ill. Admin. Code, Ch. 6, Part 4190). At this time, these guidelines concern only archaeological site information. These guidelines also relate information about access to archaeological site records and address questions about information dissemination.

The intent of these guidelines is to provide archaeological site information to qualified persons or organizations that require it for cultural resource management, scientific research, or educational purposes.

Pursuant to the Archaeological and Paleontological Resource Protection Act, the Illinois Inventory of Archaeological and Paleontological Sites may only be released in accordance with the following (Section 4190.303, Release of Site Information):

- 1) "Professional archaeologists or paleontologists may have access to site and location information for their respective fields as needed for their specific project by request to the Agency Archaeologist responsible for the Inventory."

For the purposes of this policy a professional archaeologist must meet the requirements of State certified supervisory professional prehistoric or historic field archaeologist as defined under Section 4190.404 and 405 of the rules for the Archaeological and Paleontological Resources Protection Act.

IIAPS data are available in read-only digital formats at the Illinois Historic Preservation Agency and the Illinois State Museum, and in a web-based format. Paper records are available by appointment at the Illinois State Museum Research and Collections Center.

With respect to the dissemination of archaeological site information, professional archaeologists may disseminate site information gathered under the auspice of historic preservation compliance to the organization underwriting the project if the information is limited to the area of potential effect.

Professional archaeologists may disseminate site information in the context of research and publication so long as doing so does not unnecessarily endanger the resource.

- 2) "Governmental bodies may have access to site information and location for sites within lands that they own or manage for the purposes of protecting, preserving and managing those archaeological and paleontological resources or as needed for specific planning or management needs by written request to the Agency Archaeologist responsible for the Inventory. These governmental bodies shall not release this information to any other person or organization without the authorization of the Agency."

- 3) "Release of general information (not including site location and ownership) to the public about archaeological or paleontological resource sites listed in the Illinois Inventory of Archaeological and Paleontological Sites shall generally be available, but the Agency shall not release such information when it is believed that such a release may endanger the resource."

4) "Site location information and site ownership (when it would help indicate site location) shall not be released. Information about the character of a site that would help indicate site location shall not be released."

5) "Release of information under this Section shall be subject to an applicable fee for duplication and processing."

The Illinois State Museum and the Illinois Historic Preservation Agency, with the assistance of the Illinois Department of Natural Resources, have developed a web-based Illinois Inventory of Archaeological Sites (IIAS) to facilitate access to archaeological site information. Access to the web-based inventory, requires submitting a request to the Illinois Historic Preservation Agency for review and approval. If approved, the applicant will be given the web address and a password, which periodically must be updated to ensure inventory security.

Contacts:

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(joe.phillippe@illinois.gov)

Michael Wiant, IIAPS coordinator, Illinois State Museum-Dickson Mounds (309-547-3721)
(wiant@museum.state.il.us)